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CALIFORNIA EMERGENCY MANAGEMENT AGENCY

January 13, 2009

John Debeaux, Emergency Services Manager
Sutter County
1130 Civic Center Bl.
Yuba City, Ca. 95993

Monitoring Report #M08-042

Dear Mr. Debeaux:

The Office of Homeland Security (OHS), Monitoring and Audits Unit, Program Monitor, Jennifer Kolbe conducted a monitoring review for the purpose of monitoring Sutter County OHS Grant Programs. I wish to thank you and your staff for the courtesy extended to Ms. Kolbe during the review process. Enclosed, you will find the monitoring report for the following grants:

GRANT/FIPS NUMBER	PROGRAM NAME	PERIOD MONITORED	MONITORED AMOUNT
2005-0015 - 101-00000	FY05 Homeland Security Grant Program (HSGP)	10/01/04 - 06/30/08	\$324,890
2006-0071 - 101-00000	FY06 Homeland Security Grant Program (HSGP)	07/01/06 - 06/30/09	\$234,908
2007-0008 - 101-00000	FY07 Homeland Security Grant Program (HSGP)	07/01/06 - 06/30/10	\$237,362

The monitoring included a review of staffing needs, operational practices, source documentation, activities, and data reporting requirements. In addition, the monitors examined the grant for compliance with federal financial, administrative and auditing requirements, program guidelines, and other mandates as applicable. Finally, the monitors performed a selected review of accounting records that support the amounts claimed in your reimbursement requests. Project expenditures were validated to provide reasonable assurance that expenses are related to the grant, proper records are maintained, and expenditures are properly authorized and recorded.

As a reminder, the purpose of monitoring is to assist projects in the achievement of their goals and aiding them in administering their grant funds in the most effective and efficient manner. The monitoring is used as a tool to assist the subgrantee in complying with these requirements. Your OHS Program Representative will receive a copy of the monitoring report. Their name and phone number are identified on the face sheet of the report.

If the monitoring report does not identify any findings, a Corrective Action Plan is not necessary and the monitoring process is complete.

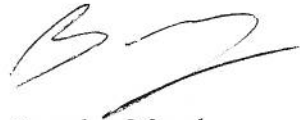
Sutter County does not have any findings for grant years 2005-0015, 2006-0071 and 2007-0008.

If you need to correspond to our office regarding this monitoring report, please include the monitoring control number on all correspondence. Send your response to:

Governor's Office of Homeland Security
Grants Administrative Section
Monitoring & Audits Unit
State Capitol
Sacramento, California 95814

Thank you for your participation in the monitoring process. If you have any questions regarding this letter or the attached report, please feel free to contact Jennifer Kolbe at 916-324-6118.

Sincerely,

A handwritten signature in black ink, appearing to read 'B Murphy', with a stylized flourish at the end.

Brendan Murphy
Deputy Director

cc: Tracey Frazier, Program Representative
Monitoring & Audits Unit, chron file
Grants Management Unit, grant file



**CALIFORNIA EMERGENCY
MANAGEMENT AGENCY
MONITORING NARRATIVE REPORT**

GRANT/FIPS NUMBER	PROGRAM NAME	PERIOD MONITORED	MONITORED AMOUNT
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Sutter County Operational Area			
AUTHORIZED AGENT:	John DeBeaux	ADDRESS:	1130 Civic Center Bl. Yuba City, Ca. 95993
CONTACT EMAIL:	jedebeaux@co.sutter.ca.us.		
CONTACT PHONE NUMBER:	(530) 822-7400		
ALTERNATE POINT of CONTACT:			
CONTACT EMAIL:			
PROGRAM REPRESENTATIVE:	Tracey Frazier	E-mail:	tracey.frazier@ohs.ca.gov
PHONE NUMBER:	(916) 324-6342		
PROGRAM MONITOR:	Jennifer Kolbe	E-mail:	jennifer.kolbe@ohs.ca.gov
PHONE NUMBER:	(916) 324-6118	DATE OF MONITORING:	

PERSONS INTERVIEWED DURING MONITORING VISIT

NAME	TITLE	AGENCY
John Debeaux	Emergency Services Manager	Sutter County Operational Area

Prepared by:

Jennifer Kolbe, Program Monitor, OHS Administration Division, Monitoring & Audits Unit

1/13/09
Date

Approved by:

Brendan Murphy, Deputy Director, OHS Administration Division, Monitoring & Audits Unit

1/29/09
Date

Monitoring Report

Monitoring Report Summary	Total # of Items in Category	In Compliance	Not in Compliance	Not Monitored	Not Applicable	Total
Administrative Review						
Review of Audit Reports	2	2				2
Grant Assurances	1	1				1
Grant Approval Notification	2	2				2
Performance Reports	1	1				1
Homeland Security Strategies	1	1				1
Publication of Published Materials	1				1	1
Programmatic Review						
Program Goals and Objectives	2	2				2
Exercise	2				2	2
Training	1	1				1
Planning	1				1	1
Financial Management						
Accounting System	8	8				8
Distribution of Funds	1	1				1
Advance of Funds	2				2	2
Change Requests/Modifications	2	2				2
Maintenance of Records	1	1				1
Fiscal: Personnel Services						
Management and Administrative Services	3	3				3
Overtime/Back Fill	3				3	3
Fiscal: Procurement						
Responsibility	1	1				1
Methods of Procurement	4	4				4
Fiscal: Equipment & Property Management						
Equipment Purchases	3	3				3
Property Management & Records Keeping	2	2				2
Subgrantee Monitoring & Oversight						
Subrecipient single audit requirements	1				1	1
Management and Administrative Responsibility	1				1	1
Overtime/Backfill/CTO Responsibility	1				1	1
Procurement Responsibility	1				1	1
Equipment & Property Management Responsibility	1				1	1
Total	49	35	0	0	14	49

Monitoring Report

PROGRAM SUMMARY

Corrective Action Plan: Not Required

MONITORING REPORT DETAIL

- A. Administrative Review:** Subgrantee in compliance (7 items). Not applicable for Subgrantee (1 item). Total of 8 items.
1. **Review of Audit Report:** Subgrantee in compliance (2 items).
 2. **Grant Assurances:** Subgrantee in compliance (1 item).
 3. **Grant Approval Notification:** Subgrantee in compliance (2 items).
 4. **Performance Reports:** Subgrantee in compliance (1 item).
 5. **Homeland Security Strategies:** Subgrantee in compliance (1 item).
 6. **Publication of Materials:** Not applicable for subgrantee (1 item).
- B. Programmatic Review:** Subgrantee in compliance (3 items). Not applicable for subgrantee (3 items). Total of 6 items.
1. **Program Goals & Objectives:** Subgrantee in compliance (2 items).
 2. **Exercise:** Not applicable for Subgrantee (2 items)
 3. **Training:** Subgrantee in compliance (1 item).
 4. **Planning:** Not applicable for Subgrantee (1 item).
- C. Financial Management:** Subgrantee in compliance (12 items). Not applicable for Subgrantee (2 items). Total of 14 items.
1. **Accounting System:** Subgrantee in compliance (8 items).

Monitoring Report

2. **Distribution of Funds:** Subgrantee in compliance (1 item).
3. **Advance of Funds:** Not applicable for Subgrantee (2 items).
4. **Change Request/Modifications:** Subgrantee in compliance (2 items).
5. **Records Maintenance:** Subgrantee in compliance (1 item).

D. Fiscal: Personnel Services: Subgrantee in compliance (3 items). Not applicable for Subgrantee (3 items). Total of 6 items.

1. **Management and Administrative Services:** Subgrantee in compliance (3 items).
2. **Overtime/Backfill and/or CTO:** Not applicable for Subgrantee (3 items).

E. Fiscal: Procurement: Subgrantee in compliance (5 items). Total of 5 items.

1. **Responsibility:** Subgrantee in compliance (1 item).

Requirements: DOJ Financial Guide, Part 1, Ch. 1, pg 16 & 17 and Title 28 of the Code of Federal Regulations, 67 states, in part "...certification must be completed prior to recommendation for or against an award and provides guidance on the requirements that a recipient must meet in order to receive federal funds...under Executive order 12549." Title 28 CFR 67.140; 67.300(a) Requires...checking the Excluded Parties List System (EPLS) that is maintained by the General Services Administration (GSA).

Note: Although the monitor did not find any items purchased from a debarred source, it is highly recommended that the subgrantee review the county purchasing policy and update the policy to reflect current codes and regulations required when using federal funds. These would include, Davis/Bacon Act, National Environmental Protection Act (NEPA) and Debarment and Suspension.

Action Recommended: It is strongly recommended that the subgrantee review the current purchasing policy and update it to reflect the above mentioned items. The subgrantee may use a separate addendum to the county policy.

2. **Methods of Procurement:** Subgrantee in compliance (4 items).
 - a. Small Purchases: Subgrantee in compliance (1 item).

Monitoring Report

- b. Formal Advertisement Invitation for Bid (IFB): Subgrantee in compliance (1 item).
- c. Competitive Proposals: Subgrantee in compliance (1 item).
- d. Noncompetitive Proposals: Subgrantee in compliance (1 item).

F. Fiscal: Equipment & Property Management: Subgrantee in compliance (5 items). Total of 5 items.

- 1. **Equipment Purchases:** Subgrantee in compliance (3 items).
- 2. **Property and Records Keeping:** Subgrantee in compliance (2 items).

G. Subgrantee Monitoring & Oversight: Not applicable for Subgrantee (5 items). Total of 5 items.